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ORIGINALLY FILED

2100632-991121

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Janet M. Wasowicz et al.

Serial No. 09/912,681

Group Art Unit: N/A

Filed: July 24, 2001

Examiner: Unknown

Title: ADAPTIVE AUDITORY AND PHONOLOGICAL APPARATUS AND  
METHOD

RECEIVED  
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OFFICE OF PETITIONS  
DEPUTY A/C PATENTS

*I hereby certify that this correspondence is being  
deposited with the United States Postal Service with sufficient  
postage as FIRST CLASS MAIL in an envelope addressed to:  
Commissioner of Patents and Trademarks, Washington, D.C.  
20231, on:*

February 15, 2002  
Date

*Linda H. West*  
Linda West

\*\*\*

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
Commissioner of Patents & Trademarks  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated July 6, 2001, applicant hereby  
submits the following:

1. Transmittal Form (1 pg.);
2. Response to Notice to File Missing Parts (2 pp.);
3. Copy of original Notice to File Missing Parts (2 pp.);
4. Petition for Extension of Time (1 pg.);
5. Petition Under 37 CFR 1.47(a) and 35 USC 116 For Filing ... (3 pp.);
6. Declaration of Timothy Lohse In Support of Petition including Exhibits A-B (4 pp.);
7. Declaration of Joseph Bogdan In Support of Petition including Exhibits A-B (8 pp.);
8. Preliminary Amendment with Appendix A (17 pgs.);
9. Transmittal of Formal Drawings (1 pg.);
10. Twenty-nine (29) sheets of formal drawings;
11. Fee Transmittal (1 pg.);
12. Check # 501603 for \$915.00;
13. Assignment and Cover Sheet (5 pages) and
14. Return Postcard.
15. Executed Declaration/Power of Attorney (5 pages)

The above documents, including the petition, completely respond to the Notice to File Missing Parts and complete the filing of the above-identified patent application.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 07-1896.

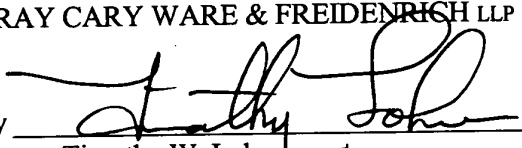
This document is being submitted in duplicate. Please telephone the undersigned at (650) 320-7426, if there are any questions.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: February 15, 2002

By

  
Timothy W. Lohse  
Attorney for Applicant  
Reg. No. 35,255

GRAY CARY WARE & FREIDENRICH LLP

Attn: Patent Department  
1755 Embarcadero Road  
Palo Alto, CA 94303  
Telephone: (650) 320-7426



UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/912,681         | 03/24/2001          | Janet Wasowicz        | 2100632-991121         |

26379  
GARY CARY WARE & FREIDENRICH LLP  
1755 EMBARCADERO RD  
PALO ALTO, CA 94303-3340

CONFIRMATION NO. 8234

FORMALITIES LETTER



\*000000006441887\*

Date Mailed: 08/17/2001

**RECEIVED**  
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OFFICE OF PETITIONS  
DEPUTY A/C PATENT

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

03/06/2002 GTEFFERA 00000041 09912681

01 FC:205

65.00 OP

**DOCKET**

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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PTO/SB/17 (10-01)

# **FEE TRANSMITTAL for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 915.00

## **Complete if Known**

Application Number 09/912,681  
Filing Date July 24, 2001  
First Named Inventor Janet M. Wasowicz  
Examiner Name Unknown  
Group Art Unit N/A  
Attorney Docket No. 2100632-991

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## **METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 07-1896  
Deposit Account Name Gray Cary Ware & Freidenrich

- ☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 740                   | 201                   | 370                   | Utility filing fee     |          |
| 106                   | 330                   | 206                   | 165                   | Design filing fee      |          |
| 107                   | 510                   | 207                   | 255                   | Plant filing fee       |          |
| 108                   | 740                   | 208                   | 370                   | Reissue filing fee     |          |
| 114                   | 160                   | 214                   | 80                    | Provisional filing fee |          |

**SUBTOTAL (1)** (\$) 0.00

### **2. EXTRA CLAIM FEES**

Total Claims 471 - 481 = 0 X Fee from below = 0  
Independent Claims 12 - 12 = 0 X Fee from below = 0  
Multiple Dependent Claims X Fee from below = 0

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                     |          |
| 102                   | 84                    | 202                   | 42                    | Independent claims in excess of 3                          |          |
| 104                   | 280                   | 204                   | 140                   | Multiple dependent claim, if not paid                      |          |
| 109                   | 80                    | 209                   | 42                    | ** Reissue independent claims over original patent         |          |
| 110                   | 18                    | 210                   | 9                     | ** Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2)** (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105                   | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  | 65       |
| 127                   | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                   | 130                   | 139                   | 130                   | Non-English specification  |          |
| 147                   | 2,520                 | 147                   | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 112                   | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113                   | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115                   | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116                   | 400                   | 216                   | 200                   | Extension for reply within second month                                    |          |
| 117                   | 920                   | 217                   | 460                   | Extension for reply within third month                                     |          |
| 118                   | 1,440                 | 218                   | 720                   | Extension for reply within fourth month                                    | 720      |
| 128                   | 1,960                 | 228                   | 980                   | Extension for reply within fifth month                                     |          |
| 119                   | 320                   | 219                   | 160                   | Notice of Appeal   |          |
| 120                   | 320                   | 220                   | 160                   | Filing a brief in support of an appeal                                     |          |
| 121                   | 280                   | 221                   | 140                   | Request for oral hearing   |          |
| 138                   | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140                   | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141                   | 1,280                 | 241                   | 640                   | Petition to revive - unintentional   |          |
| 142                   | 1,280                 | 242                   | 640                   | Utility issue fee (or reissue)   |          |
| 143                   | 460                   | 243                   | 230                   | Design issue fee   |          |
| 144                   | 620                   | 244                   | 310                   | Plant issue fee  |          |
| 122                   | 130                   | 122                   | 130                   | Petitions to the Commissioner  | 130      |
| 123                   | 50                    | 123                   | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 126                   | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  | 180      |
| 581                   | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146                   | 740                   | 246                   | 370                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                   | 740                   | 249                   | 370                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                   | 740                   | 279                   | 370                   | Request for Continued Examination (RCE)                                    |          |
| 169                   | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 915.00

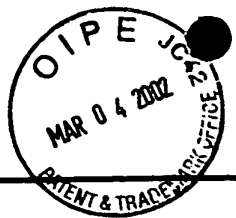
## **SUBMITTED BY**

Name (Print/Type) Timothy W. Lohse  
Signature *Timothy W. Lohse*

Registration No. (Attorney/Agent) 35,255

## **Complete (if applicable)**

Telephone 650-320-7426  
Date February 15, 2002



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Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
Janet Wasowicz, Feng-Qi Lai and Andrew Morrison

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: February 13, 2002

2. Name and address of receiving party(ies)

Name: Cognitive Concepts, Inc.

Internal Address: \_\_\_\_\_

Street Address: 990 Grove Street, Suite 300

City: Evanston State: ILL Zip: 60201

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s)

If this document is being filed together with a new application the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) 09/912,681

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Timothy W. Lohse

Internal

Address: \_\_\_\_\_

Street  
address: 1755 Embarcadero Road

City: Palo Alto State: CA Zip: 94303

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ \_\_\_\_\_

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number: 07-1896

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Timothy W. Lohse  
Name of Person Signing

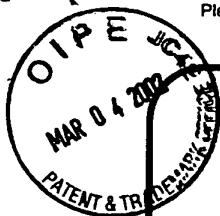
35,255  
Reg. No.

Timothy W. Lohse  
Signature

February 15, 2002  
Date

Total number of pages including cover sheet, attachments, and documents: 5

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231



Please type a plus sign (+) inside this box



PTO/SB21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

09/912,681

Filing Date

July 24, 2001

First Named Inventor

Janet M. Was...

Group Art Unit

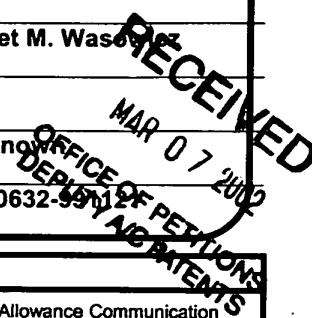
N/A

Examiner Name

Unknown

Attorney Docket Number

2100632-991121



|   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (1 pg.)<br><input checked="" type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment with Appendix A attached (17 pgs.)<br>After Final<br>Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request (1 pg.)<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement w/Information Disclosure Citation (4 pgs.)<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application<br>Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)<br><input checked="" type="checkbox"/> Drawing(s): 29 sheets<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Associate Power of Attorney,<br><input checked="" type="checkbox"/> Executed Declaration/Power of Attorney (4 pages)<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br>1. Copy of Notice to File Missing Parts (2 pgs.);<br>2. Petition Under 37 CFR 1.47(a) and 35 USC for Filing ... (3 pgs.);<br>3. Declaration of Timothy Lohse with Exhibits A and B (4 pgs.);<br>4. Declaration of Joseph Bogdan with Exhibits A and B (8 pgs.);<br>5. Transmittal of Formal Drawings (29 sheets);<br>6. Check # 501803 for \$915.00; and<br>7. Return Postcard |
| <p>Remarks</p>  |  |  |

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

|                         |  |
|-------------------------|--|
| Firm or Individual name | Timothy W. Lohse (Reg. No. 35,255)<br>Gray Cary Ware Freidenrich LLP |
| Signature               |  |
| Date                    | February 15, 2002  |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231

|                       |                   |
|-----------------------|-------------------|
| Typed or printed name | Linda West        |
| Signature             |                   |
| Date                  | February 15, 2002 |



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Attorney Docket No. 2100632-991121

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Janet Wasowicz

Serial No.: 09/912,681

Group Art Unit: N/A

Filed: July 24, 2001

Examiner: Unknown

Title: ADAPTIVE AUDITORY AND PHONOLOGICAL APPARATUS AND METHOD

\*\*

TRANSMITTAL OF FORMAL DRAWINGS

BOX MISSING PARTS  
Asst. Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Transmitted herewith are twenty-nine (29) sheets of formal drawings for the  
above-identified application.

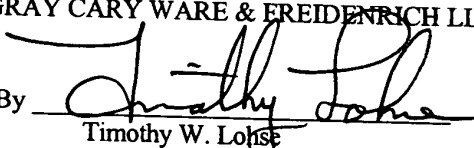
Please address all communications regarding this application to:

Timothy W. Lohse  
Patent Department - EM  
GRAY CARY WARE & FREIDENRICH LLP  
1755 Embarcadero Road  
Palo Alto, CA 94303

Please direct all telephone calls to Timothy W. Lohse at (650) 320-7426.

Dated February 15, 2002

GRAY CARY WARE & FREIDENRICH LLP

By   
Timothy W. Lohse  
Reg. No. 35,255  
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH LLP  
ATTN: Patent Department  
1755 Embarcadero Road  
Palo Alto, CA 94303  
(650) 320-7426